

01/16/02

JC698 U.S. PTO

Please type a sign (+) inside this box  $\pm$  PTO/SB/05 (08-00)Approved for use through 10/31/2002 OMB 0651-0032  
Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR ' 1.53(b))

Attorney Docket No.	PF511P1
First Inventor	NI et al
Title	Human Tumor Necrosis Factor Receptors TR13 and TR14
Express Mail Label No.	

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

**ADDRESS TO:**Commissioner for Patents  
Box Patent Application  
Washington, DC 202311. ☒ Fee Transmittal Form (e.g., PTO/SB/17) (in duplicate)  
(Submit an original, and a duplicate for fee processing)2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.3. ☒ Specification [Total Pages 431]

(preferred arrangement set forth below)

- Descriptive title of the Invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 37]5. ☒ Unexecuted Declaration [Total Pages 2]

- a. ☐ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR ' ' 1.63(d)(2) and 1.33(b).

6. ☒ Application Data Sheet. See 37 CFR 1.76. [4 Pages]7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)

- a. ☒ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
  - i. ☐ CD-ROM or CD-R (2 copies), or
  - ii. ☒ paper
- c. ☒ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**9. ☐ Assignment Papers (cover sheet and document(s))10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney11. ☐ English Translation Document (if applicable)12. ☐ Information Disclosure Statement/ Form PTO/SB/08  
☐ Copies of Citations13. ☐ Preliminary Amendment14. ☒ Return Receipt Postcard (MPEP 503)  
(should be specifically itemized)15. ☐ Certified copy of Priority Document(s)  
(if foreign priority is claimed)16. ☐ Other:

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76.

<input type="checkbox"/> Continuation	<input type="checkbox"/> Divisional	<input checked="" type="checkbox"/> Continuation-in-Part (CIP)	of prior application No: 09/618,570, filed July 14, 2000
Prior application information: Examiner _____			Group/Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only. The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**18. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label 22195 or ☐ Correspondence address below

NAME

ADDRESS

CITY

STATE

ZIP CODE

COUNTRY

TELEPHONE

FAX

NAME (Print/Type)

Registration No. (Attorney/Agent) 41,119

SIGNATURE

Jonathan L. Klein

Date January 16, 2002

Burden Hour Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.  
SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

JC698 U.S. PTO  
01/16/02

# FEE TRANSMITTAL for FY 2002

(Substitute form)

Patent fees are subject to annual revision.

## Complete if Known

Application Number	Unassigned
Filing Date	Herewith
First Named Inventor	NI et al.
Examiner Name	Unassigned
Group Art Unit	Unassigned

Total amount of payment **\$ 2,102.00**

Attorney Docket Number **PF511P1**

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to

Deposit Account Number **08-3425**

Deposit Account Name **Human Genome Sciences, Inc.**

- ☒ Charge Any Additional Fee Required  
Under 37 CFR §§ 1.16 and 1.17

Applicant claims small entry status  
See 37 CFR 1.27

- ☐ Payment Enclosed:

☐ Check ☐ Credit Card ☐ Money Order ☐ Other\*

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	740	201	370	Utility filing fee	740.00
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	
SUBTOTAL (1)					<b>\$ 740.00</b>

### 2. EXTRA CLAIM FEES

Total Claims		Extra Claims	Fee from below	Fee Paid
Independent Claims	63	-20*	43	\$18.00
Multiple Dependent	10	-3*	7	\$84.00
				\$280.00
				0.00

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
108	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) **\$1,362.00**

\* or number previously paid, if greater. For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Fee Code	Large Entity Fee (\$)	Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
142	1,280	242	640	Utility issue fee (or reissue)	
195	300	195	300	Publication fee for early, voluntary, or normal publication	
179	740	279	370	Request for Continued Examination (RCE)	
098	130	098	130	Processing fee, except in provisional applications	
126	180	126	180	Submission of information Disclosure Statement	
123	50	123	50	Processing fee for provisional applications	
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
145	100	145	100	Certificate of correction	
147	2,520	147	2,520	Request for <i>ex parte</i> reexamination	
099	8,800	099	8,800	Request for <i>inter partes</i> reexamination	
148	110	248	55	Statutory disclaimer	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
122	130	122	130	Petitions to the Commissioner	
140	110	240	55	Petition to revive unavoidably abandoned application	
141	1,280	241	640	Petition to revive unintentionally abandoned application	
091	1,280	091	1,280	Acceptance of an unintentionally delayed claim for priority	
561	3	561	3	Printed copy of patent, regular service	
581	40	481	40	Recording each patent assignment per property (times number of properties)	
Other fee (specify)					
Other fee (specify)					
Other fee (specify)					

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

**\$0.00**

## Submitted By

Name (Print/Type) **Jonathan L. Klein**

Registration No.: **41,119**

Telephone **301-251-6015**

Signature: 

Date: **January 16, 2002**

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: NI et al.

Application Serial No.: Unassigned

Art Unit: Unassigned

Filed: Herewith

Examiner: Unassigned

For: Human Tumor Necrosis Factor  
Receptors TR13 and TR14

Attorney Docket No.: PF511P1

STATEMENT UNDER 37 C.F.R. 1.821(f)

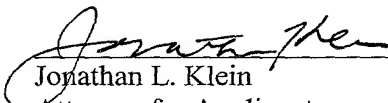
Commissioner For Patents  
Washington, D.C. 20231

Sir:

Pursuant to 37 C.F.R. § 1.821(f), Applicants hereby certify that the sequence listing information recorded in computer readable form and submitted herewith is identical to the written (on paper) Sequence Listing submitted herewith.

Respectfully submitted,

Dated: JANUARY 16, 2002

  
Jonathan L. Klein (Reg. No. 41,119)  
Attorney for Applicants

**Human Genome Sciences, Inc.**  
9410 Key West Avenue  
Rockville, Maryland 20850  
Telephone: 301-251-6015

Enclosures  
JKE/BM/lcc